



1/16

2814

PTO/SB/21 (08-00)

TRANSMITTAL FORM

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Total Number of Pages in This Submission

Application Number	09/197,767
Filing Date	November 23, 1998
First Named Inventor	Hisashi OHTANI et al.
Group Art Unit	2814
Examiner Name	P. Cao
Total Number of Pages in This Submission	Attorney Docket Number
	0756-1896

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosures 1. 2. 3. 4. 5. 6.
Remarks <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 50-2280 for the above identified docket number.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

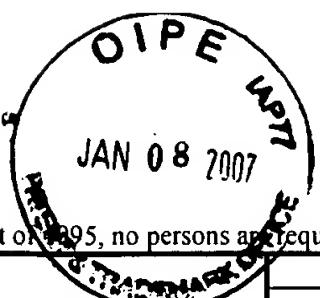
Firm or Individual name	Eric J. Robinson, Reg. No. 38,285 Robinson Intellectual Property Law Office, P.C. PMB 955 21010 Southbank Street Potomac Falls, VA 20165
Signature	
Date	January 3, 2007

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date indicated below.

Type or printed name	Adele M. Stamper		
Signature		Date	January 3, 2007

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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FEE TRANSMITTAL FOR FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT **(\$)** 180.00

<i>Complete if Known</i>	
Application Number	09/197,767
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First Named Inventor	Hisashi OHTANI et al.
Examiner Name	P. Cao
Group Art Unit	2814
Attorney Docket No.	0756-1896

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **50-2280**

Deposit Account Name **Robinson Intellectual Property Law Office**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 and credit overpayments

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit Card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001	300	2001 150 Utility filing fee	
1111	500	2111 250 Search fee	
1311	200	2311 275 Examination fee	
Over 100 Sheets/250 for each additional 50			
SUBTOTAL (1)		(\$)	

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
	-20** =	(\$50)	
Independent Claims	-3** =	(\$200)	
Multiple Dependent			

Large Entity Fee Code	Small Entity Fee Code	Fee Description	
1202	50	2202 25 Claims in excess of 20	
1201	200	2201 100 Independent claims in excess of 3	
1203	360	2203 180 Multiple dependent claim, if not paid	
1204	200	2204 100 ** Reissue independent claims over original patent	
1205	50	2205 25 ** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)		(\$)	

**or number previously paid, if greater; For Reissues, see above

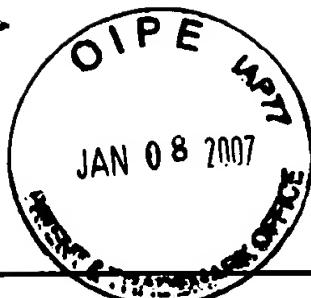
3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1051	130	2051 65 Surcharge - late filing fee or oath	
1052	50	2052 25 Surcharge - late provisional filing fee or cover sheet	
1053	130	1053 130 Non-English specification	
1812	2,520	1812 2,520 For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804 920* Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805 1,840* Requesting publication of SIR after Examiner action	
1251	120	2251 60 Extension for reply within first month	
1252	450	2252 225 Extension for reply within second month	
1253	1020	2253 510 Extension for reply within third month	
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1453	1,500	2453 750 Petition to revive - unintentional	
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1502	800	2502 400 Design issue fee	
1503	1100	2503 550 Plant issue fee	
1462	400	1462 400 Petitions, Group I	
1463	200	1463 200 Petition, Group II	
1464	130	1464 130 Petitions, Group III	
1807	50	1807 50 Processing fee under 37 CFR 1.17(q)	
1806	180	1806 180 Submission of Information Disclosure Stmt	\$180.00
8021	40	8021 40 Recording each patent assignment per property (times number of properties)	
1809	790	2809 395 Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810 395 For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801 395 Request for Continued Examination (RCE)	
1802	900	1802 900 Request for expedited examination of a design application	
Other fee (specify) _____			
* Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	(\$)
		180.00	

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SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Eric J. Robinson	Registration No. (Attorney/Agent)	38,285	Telephone (571) 434-6789
Signature			Date	January 3, 2007



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Remarks

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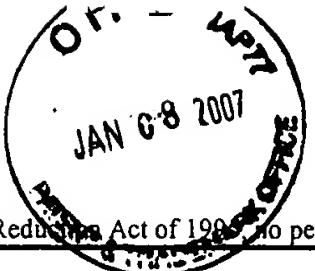
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Examiner Name	P. Cao
Group Art Unit	2814
Attorney Docket No.	0756-1896

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SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Eric J. Robinson	Registration No. (Attorney/Agent)	38,285	Telephone (571) 434-6789
Signature		Date	January 3, 2007	



Attorney Docket No. 0756-1896

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Hisashi OHTANI et al.

Serial No. 09/197,767

Filed: November 23, 1998

For: SEMICONDUCTOR DEVICE AND
PROCESS FOR PRODUCING THE
SAME

) Group Art Unit: 2814

) Examiner: P. Cao

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Commissioner for Patents, P.O. Box 1450,
Alexandria, VA 22313-1450, on January 3,
2007.

) Adam Stamps

INFORMATION DISCLOSURE STATEMENT

Honorable Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the provisions of 37 C.F.R. 1.56 and 37 C.F.R. 1.97-1.99, Applicant submits herewith a Form PTO-1449 listing information known to Applicant and requests that this information be made of record in the above identified application. Copies are submitted herewith in accordance with 37 C.F.R. 1.98(a).

In accordance with 37 C.F.R. § 1.97(e), it is certified that either (1) each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement, or (2) no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application and no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this information disclosure statement.

The references were cited by the Japanese Patent Office in an Official Action dated October 17, 2006 in counterpart Application No. 0010-018050.

U.S. Patent No. 5,667,853 is in the family of JP 09-230806.

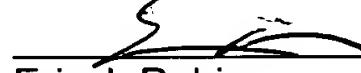
JP 08-340120 is in the family of EP 0 738 012.

JP 09-230806 is in the family of EP 0 733 931.

A check in the amount of \$180 is being submitted to comply with the provisions of 37 C.F.R. § 1.97(c).

The Commissioner is hereby authorized to charge fees under 37 C.F.R. §§1.16, 1.17, 1.20(a), 1.20(b), 1.20(c), and 1.20(d) (except the Issue Fee) which may be required now or hereafter, or credit any overpayment to Deposit Account No. 50-2280. A duplicate copy of this sheet is attached.

Respectfully submitted,


Eric J. Robinson
Reg. No. 38,285

Robinson Intellectual Property Law Office, P.C.
PMB 955
21010 Southbank Street
Potomac Falls, Virginia 20165
(571) 434-6789

Please type a plus sign (+) inside this box →

JAN 08 2007

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/197,767
Filing Date	November 23, 1998
First Named Inventor	Hisashi ONTANI et al.
Group Art Unit	2814
Examiner Name	Phat X. Cao
Attorney Docket Number	0756-1896

Sheet

of

1

Attorney Docket Number

0756-1896

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴ (if known)				
		JP	08-340120		12/24/1996		Abst.
		EP	0 738 012		10/16/1996		Eng.
		JP	05-335424		12/17/1993		Full
		JP	09-080464		03/28/1997		Abst.
		JP	07-098452		04/11/1995		Abst.
		JP	08-101385		04/16/1996		Abst.
		JP	57-020778		02/03/1982		Abst.
		JP	04-220625		08/11/1992		Abst.
		JP	09-230806		09/05/1997		Abst.
		EP	0 733 931		09/25/1996		Eng.
		JP	08-076145		03/22/1996		Abst.

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Notice of Rejection dated October 17, 2006 for JP Application No. 0010-018050.	Full

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.